

Express Mail Label No.: EU282823908US  
Date of Deposit: October 3, 2002

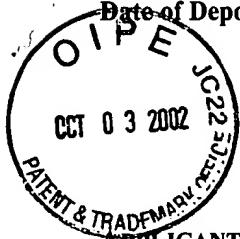
10-04-02

2161

HS  
BT

PATENT APPLICATION  
Attorney Docket No.: 21822-005C

10-11-02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:

Samuel W. Lessin

ART UNIT: 2161

SERIAL NO.:

09/930,313

EXAMINER: NOT YET ASSIGNED

FILING DATE:

August 15, 2001

FOR:

METHODS AND APPARATUSES FOR AN ONLINE PERSONAL  
FUNDING MARKETPLACE

October 3, 2002  
Boston, Massachusetts

BOX IDS

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing in the present application are the following documents:

- Supplemental Information Disclosure Statement (2 pages);
- Modified Form 1449/PTO (1 page) in duplicate;
- Copies of References A10-A13, B1, C1-C2; and
- Return Postcard.

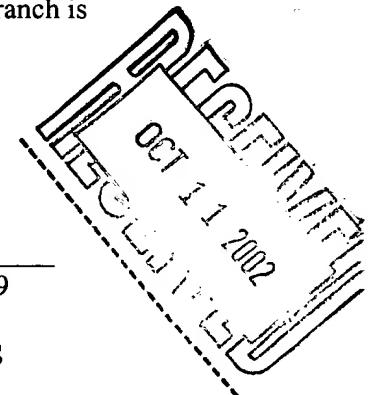
The Commissioner is hereby authorized to charge any fees that may be due to Deposit Account No. 50-0311, Reference No. 21822-005C. A duplicate copy of this transmittal letter is enclosed.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 212/692-6803, New York, New York.

A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Brian P. Hopkins, Reg. No. 42,669  
Attorney for Applicant  
MINTZ, LEVIN, COHN, FERRIS  
GLOVSKY AND POPEO, P.C.  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241



30623

PATENT TRADEMARK OFFICE



Express Mail Label No.: EU282823908US  
Date of Deposit: October 3, 2002

Attorney Docket No. 21822-005C

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Samuel W. Lessin  
SERIAL NUMBER: 09/930,313 EXAMINER: Not Yet Assigned  
FILING DATE: August 15, 2001 ART UNIT: 2161  
FOR: METHODS AND APPARATUSES FOR AN ONLINE PERSONAL FUNDING MARKETPLACE

October 3, 2002  
Boston, Massachusetts

**Box IDS**

Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicant hereby make of record the documents listed on the enclosed modified Form PTO-1449 (submitted in duplicate) in the above-identified application which were cited in the International Search Report date of mailing September 18, 2002. The order of presentation of the references should not be construed as an indication of the importance of the references.

This Supplemental Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits in the above-identified case. Accordingly, no fee or certification is required. 37 C.F.R. §1.97.

A copy of each of the references is enclosed unless otherwise indicated on the attached Form PTO-1449 (modified). It is respectfully requested that the Examiner consider the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims, and signs the enclosed form PTO-1449 to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.

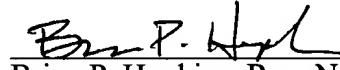
RECEIVED  
OCT 08 2002  
GROUP 3600

**APPLICANTS:**      **Samuel W. Lessin**  
**U.S.S.N.:**            **09/930,313**

By submitting this Supplemental Information Disclosure Statement, the Applicant make no representation that: (1) a search has been performed, of the extent of any search performed, or that more relevant information does not exist; (2) the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b); and (3) the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information. An early and favorable action is hereby requested. Please charge any fees that may be due, or credit any overpayment of same, to Deposit Account No. **50-0311**, Reference No. 21822-005C.

Respectfully submitted,

  
\_\_\_\_\_  
Brian P. Hopkins, Reg. No. 42,669  
Attorney for Applicant  
c/o Mintz, Levin, Cohn Ferris,  
Glovsky and PoPeo, P.C.  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241

Dated: October 3, 2002



**30623**

PATENT TRADEMARK OFFICE

Express Mail No. EU282823908US  
Date of Deposit: October 3, 2002

Attorney Docket No.: 21822-005C

Modified Form 1449/PTO		Application Number	09/930,313
		Filing Date	August 15, 2001
		First Named Inventor	Samuel W. Lessin
		Group Art Unit	2161
		Examiner Name	Not Yet Assigned
		Attorney Docket Number	21822-005C



U.S. PATENT DOCUMENTS							
Exam Initials	Cite No.	U.S. Patent Document No.	Issue Date	Name of Patentee(s) or Applicant(s)	Class	Sub Class	Filing Date If Appropriate
	A10	2002/0032599 A1	03/14/02	Chandler et al.	705	10	
	A11	2002/0046038 A1	04/18/02	Prokoski	705	1	
	A12	2001/0039508 A1	11/08/01	Nagler et al.	705	11	
	A13	2002/0073006 A1	06/13/02	Goldman	705	35	

FOREIGN PATENT DOCUMENTS					
Exam Initials	Cite No.	Foreign Patent Document Office Number	Name of Patentee(s) or Applicant(s)	Date of Publication	Translation Yes No
	B1	WO 01/20523 A1 ✓	Venture Capital Online, LLC	March 22, 2001	X

OTHER NON PATENT LITERATURE DOCUMENTS			
Exam Initials	Cite No.	Name of Author, Title (when appropriate), Publication, Volume, Page(s), Date, Etc.	Date Considered
	C1	"128 VC Group Launches New Site" NetageVC News, 10 December 2000	-
	C2	International Search Report for PCT/US02/07619, mailed 18 September 2002	-

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, U.S.S.N. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. §120 (continuation, continuation-in-part, and divisional applications).

Examiner Signature		Date Considered
--------------------	--	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.

RECEIVED  
OCT 08 2002  
GROUP 3600



30623

PATENT TRADEMARK OFFICE